

Automated Commercial Environment—Requirements Recommendation

Date:	August 1, 2001
Number:	ACT-002 Access to Account Data (Final Version)
Requestor:	Account Management Subcommittee
Customs Co-Chair:	(signature)
Trade Co-Chair:	(signature)

Requirement: Accessing Account Data

- a. The Trade must have the capability to access all data pertaining to their account, both administrative (address, point of contact, license, bond, etc.) and transactional data. This includes ability to view and download data associated with all transactions in which they are (or have been) a participant.
- b. Access to transactional information includes all data submitted to Customs as well as information generated by Customs, such as regarding any discrepancy/violation, exam results, etc. other than that which is against Customs policy to disclose. This also includes the account's compliance information (e.g., resulting from analysis of an account's transaction history or from formal compliance assessments) and revenue data regarding financial obligations.
- c. Access must be "immediate, real-time". This means that the Trade must be able to electronically access on a demand basis the same information as, and as soon as available to, the Customs staff.
- d. Access to account data includes access to other accounts that have been linked hierarchically and/or across corporate structure, except where such access has been limited per e. below. This includes Customs-generated compliance information for individual (sub)accounts as well as aggregated across linked accounts.
- e. The privilege to access all account data, including corporately linked accounts, is always available to the "account-owner", who can grant access privilege to other users. Granting access privilege to others is accomplished during the account establishment process

and/or account maintenance. A privilege thus granted can be limited to a specific account and thus restricted from accessing linked accounts. Scope can also be restricted to data that's relevant to a particular business category (e.g., arrival and manifest data for carriers).

- f. Access by the Trade to account information must be prohibited except for the account-owner and other users that have been specifically granted access per e. above. The account owner can also grant ownership privilege to other users.
- g. An ad-hoc report-generating tool for creating reports from ACE data must be available to the Trade, with capabilities to support analysis of compliant and non-compliant transactions by time, by port, by commodity, etc. Further, Customs should make their own report-generating queries/templates available so that the Trade can create the same types of reports.

NOTE: It is understood that further details and specificity of this and related requirements must be defined in order to implement a satisfactory solution. The Account Management Subcommittee needs to remain involved during this requirement specification process and expects to provide feedback as refinements emerge. That is, requirements engineering necessarily involves Subject Matter Experts (SMEs), and this Subcommittee is the most relevant and available source of SMEs for account-related matters.

Business Need

Customs and the Trade need to be able to monitor transactions and compliance rates from the same data set. To do this, each should be able to query the system for all data elements pertaining to accounts, perform "slice and dice" analysis using a standard report-building tool such as Business Objects, extract this data, and download it to standard desktop applications such as Microsoft Excel and Access so that it can be manipulated and shared as needed.

Because of modern business complexity, the Trade will often need to access data that is aggregated across multiple accounts that are corporately linked. This will help the Trade monitor individual (sub)accounts while also seeing account data in the context of the overall corporate structure. That is, users need to have the flexibility to aggregate compliance and other data across multiple business activities so they can better monitor and improve

compliance throughout and across their corporate structure.

To effectively monitor their own compliance, the Trade needs access to Customs-generated information regarding their account's discrepancy/violation, including Inspector, Import specialist and Stratified discrepancy remarks, etc. (It would be helpful for Customs to site the basis if access to such information is against policy.)

At the same time, access to transactions and other data needs to be protected so that, for example, a carrier sees only the data relevant to their own activities and not necessarily all the importer's information unless specifically granted access to that data by the importer.

Technical Need

- Unauthorized users must be prevented from accessing account information.
- ACE implementation must include careful definition and management of access privileges associated with different user roles.
- The account owner role defines a user who can access all account information including data associated with linked accounts and who can grant access and ownership privileges to other users.
- The report-generating tool must be flexible and easy to use/understand by Trade and Customs with minimal training and without the intervention of IT resources. Report creation should be as simple as dragging and dropping data elements and conditions/limiters onto a blank field using everyday business terms (not obscure database terms). Simple drill-down, slice & dice, and filter capabilities must also be built in. Examples of this functionality are set out in Attachment A to this Requirement.

Benefits

- a. The Trade can more closely monitor their transactions and their compliance rates. In addition, it would facilitate participation and preparation for Customs compliance programs such as ICMP and Focused Assessments.
- b. Customs (e.g., the Account Manager) and the Trade can better work together to resolve issues, since they will be viewing the same information and thus share a common understanding.

- c. Since the Trade will have access to the “raw” data, Customs will not be burdened with constantly sending out numerous hardcopy reports and with responding to Trade requests for more/different reports. This capability will permit accounts to proactively monitor account activity, thus reducing the report-generating burden on Customs and ensuring a higher level of informed compliance.
- d. Allows the Trade to ensure accuracy of their information, thus reducing undetected errors.

Risks

- a. Inadvertently granting access to the wrong users.
- b. Security failure causing unauthorized access to account information.

Related Subcommittees

Revenue, Trade Interface, Manifest, Entry

Priority: **Critical** ☒ **High** ☐ **Medium** ☐ **Low** ☐

Customs Use Only

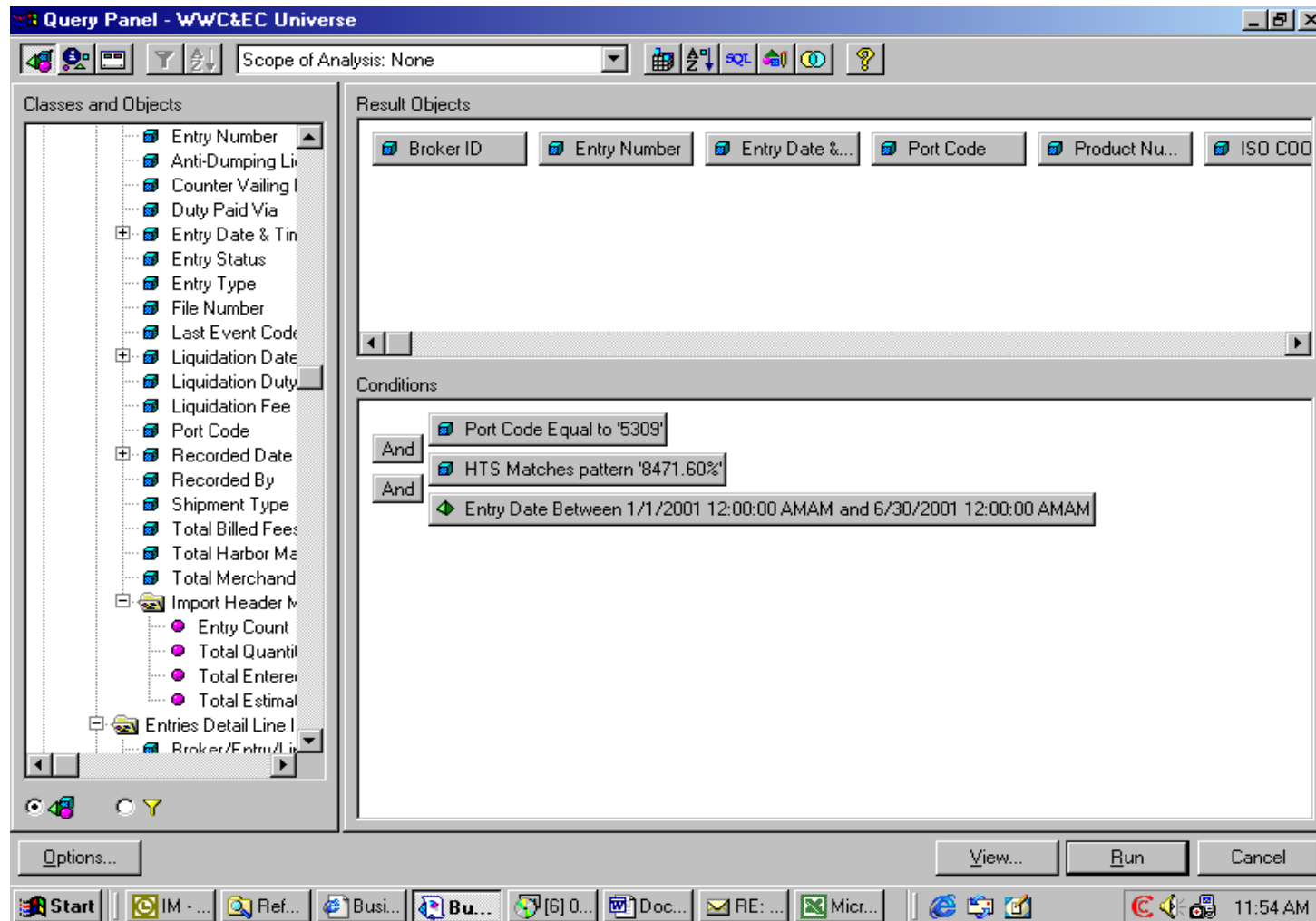
Approved ☐ Not Approved ☐ Further Evaluation Required ☐

Attachment to ACT-002 Access to Account Data

Date:	August 1 , 2001
Number:	ACT-002 Access to Account Data: Attachment A
Requestor:	Account Management Subcommittee
Customs Co-Chair:	(signature)
Trade Co-Chair:	(signature)

Below is a screen-shot from a report generated via Compaq's reporting tool (customized Business Objects version) which permits drag and drop report-creation from our import database (the user drags report elements and conditions from the left column to create a report). Many of the data elements are similar what would be required for ACE reporting.

Example 5



Further information on Business Objects product offerings is here: <http://www.businessobjects.com/products/bobi/>

Examples (NOT a complete list) of the data elements Trade and Customs must be able to access for reporting via ACE are:

1. All data elements transmitted to Customs via the 3461 and 7501 at the HEADER and LINE ITEM levels:

- Entry number
- Entry date
- Entry type
- Broker ID
- Port code
- Country of Export
- Antidumping case number
- Countervailing case number
- Duty rate
- Duty amount
- HMF
- MPF
- HTS
- Quantity
- Value
- Country of Origin
- Commercial Invoice #
- MID

2. Additional:

- Liquidation date
- Liquidation amount
- ACH data
- Compliance exam notes
- Protest data
- POA data

Priority: **Critical** ☒ **High** ☐ **Medium** ☐ **Low** ☐

Trade Support Network 7 Version 1